

CASE HP/15-22690/A/PCT

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Dolores DeCarminé
Type or print name

Dolores DeCarminé
Signature

8/17/05
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PCT NATIONAL STAGE APPLICATION OF
MICHAEL GREEN ET AL
INTERNATIONAL APPLICATION NO. PCT/EP 03/05563
FILED: MAY 27, 2003
FOR: AQUEOUS POLYMER FORMULATIONS
U.S. APPLICATION NO: 10/516,925
35 USC 371 DATE: DECEMBER 2, 2004

Group Art Unit: 1714

Examiner:

Mail Stop: PCT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

LETTER

Sir:

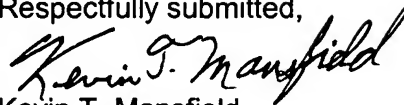
Applicants have now received the filing receipt in the above-identified application. However, in viewing the paper, Applicants noted that the **Applicant(s)** information was incorrect. The country where the fifth inventor resides should read: **France not Germany**. Enclosed is the title page of the International Publication WO 03/102043, which shows this to be true.

Please issue a corrected filing receipt having this area read:

-- **Applicant(s)** Michael Green, West Yorkshire, ENG. UNITED KINGDOM;
David Normington, West Yorkshire, ENG. UNITED KINGDOM;
Keith Graham, West Yorkshire, ENG. UNITED KINGDOM;
Gerhard Merkle, Freiburg, GERMANY;
Emmanuel Martin, Folgensbourg, FRANCE; --.

Enclosed is a copy of the filing receipt with the corrections noted.

Respectfully submitted,



Kevin T. Mansfield
Agent for Applicants
Reg. No. 46,388

Ciba Specialty Chemicals Corporation
Patent Department
540 White Plains Road
P.O. Box 2005
Tarrytown, NY 10591-9005
(914) 785-2783
TAS/dd

Encl.: copy of filing receipt

Copy of title page of International Publication WO 03/102043

Date: August 17, 2005

HP/5-22690

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization
International Bureau



(43) International Publication Date
11 December 2003 (11.12.2003)

PCT

(10) International Publication Number
WO 03/102043 A1

(51) International Patent Classification⁷: C08F 220/34,
C11D 3/37, I/62, D06M 13/46

(74) Common Representative: CIBA SPECIALTY CHEMICALS HOLDINGS INC.; Patentabteilung, Klybeckstrasse 141, CH-4057 Basel (CH).

(21) International Application Number: PCT/EP03/05563

(22) International Filing Date: 27 May 2003 (27.05.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:
02405448.8 4 June 2002 (04.06.2002) EP
02405895.0 21 October 2002 (21.10.2002) EP

(71) Applicant (for all designated States except US): CIBA SPECIALTY CHEMICALS HOLDINGS INC. [CH/CH]; Klybeckstrasse 141, CH-4057 Basel (CH).

(72) Inventors; and

(75) Inventors/Applicants (for US only): GREEN, Michael [GB/GB]; 2 Mean Hey, Old Ground, Slaithwaite, Huddersfield, West Yorkshire HD7 5XA (GB). NORMINGTON, David [GB/GB]; 12 Glebe Street, Pudsey, Leeds, West Yorkshire LS28 8PB (GB). GRAHAM, Keith [GB/GB]; 73 Bankfield Avenue, Kirkheaton, Huddersfield, West Yorkshire HD5 0JL (GB). MERKLE, Gerhard [DE/DE]; Bürgerwehrstrasse 12, 79102 Freiburg (DE). MARTIN, Emmanuel [FR/FR]; 3, rue des Sorbiers, F-68220 Folsensbourg (FR).

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NI, NO, NZ, OM, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

Published:

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: AQUEOUS POLYMER FORMULATIONS

(57) Abstract: This invention relates to thickened aqueous formulations containing cross-linked cationic polymers, novel homo- and copolymers their production and their use as thickeners for household formulations.

WO 03/102043 A1



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/516,925	12/02/2004	1714	1238	HP/15-22690/A/PCT		36	2

CONFIRMATION NO. 7425

324
CIBA SPECIALTY CHEMICALS CORPORATION
PATENT DEPARTMENT
540 WHITE PLAINS RD
P O BOX 2005
TARRYTOWN, NY 10591-9005

RECEIVED
Andrea DeCecchia

FILING RECEIPT



OC000000016280456

JUL 25 2005

Docket Coordinator
Patent Department

Date Mailed: 07/18/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael Green, West Yorkshire, ENG, UNITED KINGDOM;
David Normington, West Yorkshire, ENG, UNITED KINGDOM;
Keith Graham, West Yorkshire, ENG, UNITED KINGDOM;
Gerhard Merkle, Freiburg, GERMANY;
Emmanuel Martin, Folgensbourg, ~~GERMANY~~ FRANCE

Power of Attorney: The patent practitioners associated with Customer Number 324.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP03/05563 05/27/2003 ✓

Foreign Applications

EUROPEAN PATENT OFFICE (EPO) 02405448.8 06/04/2002 ✓
EUROPEAN PATENT OFFICE (EPO) 02405895.0 10/21/2002 ✓

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

HP/15-22690/A/PCT

Title

Aqueous polymer formulations

Preliminary Class

524

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the

national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Ciba Specialty Chemicals Corporation
Patent Department
540 White Plains Road
P. O. Box 2005
Tarrytown, New York 10591-9005



MAIL STOP *PCT*

COMMISSIONER FOR
PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313

First Class Mail
First Class Mail

2005
H METI
NY